

# Proposal Do's and Don'ts

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EARTH SCIENCE TECHNOLOGY FORUM

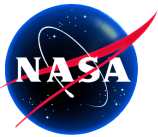
Pasadena CA

June 22, 2011

Presented by:

Carl Wagenfuehrer

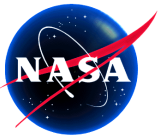
[Carl.M.Wagenfuehrer@nasa.gov](mailto:Carl.M.Wagenfuehrer@nasa.gov)



## Follow Up Questions

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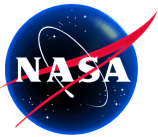
- If you have specific questions, ESTO financial staff is available throughout this forum:
  - Carl Wagenfuehrer  
[Carl.M.Wagenfuehrer@nasa.gov](mailto:Carl.M.Wagenfuehrer@nasa.gov)  
(301) 286-3404
  - David Long  
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  - Teresa Dorsey  
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# Introduction

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- This presentation is based on experience from an Earth Science Technology Office (ESTO) perspective only
- Solicitations from other NASA offices may not apply to the comments being presented
- ROSES solicitation describes general cost requirements
- An Appendix may include specific ESTO requirements that supersede the ROSES generic requirements



# Introduction

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- DO: Read the correct ROSES solicitation and the specific Appendix for which you are proposing

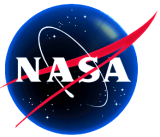
<http://nspires.nasaprs.com/external/>

- DO: Read the Grant and Cooperative Agreement Handbook

[http://prod.nais.nasa.gov/pub/pub\\_library/grcover.htm](http://prod.nais.nasa.gov/pub/pub_library/grcover.htm)

- DO: Read the Guidebook for Proposers

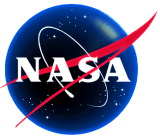
<http://www.hq.nasa.gov/office/procurement/nraguidebook/>



## Preparation of Budget Formats

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- DO: involve your business office early in the process
- DON'T: provide your proposal to your business office at the last minute and expect a thorough cost review



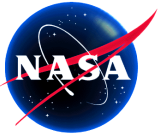
## Evaluation Factors

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- The evaluation plan consists of 3 equal factors.

Factor One: Relevance to NASA Technology (one third)	5.0 Excellent
Factor Two: Intrinsic Merit (one third)	5.0 Excellent
Factor Three: Cost Realism (one third)	1.0 Poor
Total	3.7 Low Range of Very Good

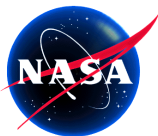
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## Panel Review

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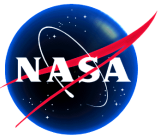
- Proposals are rated only on the information provided.
- DON'T: assume evaluators know anything more than what is included in the proposal.



# Budget Formats

PI Name:		NASA Proposal Number		
Organization Name:				
Proposal Title:				
<b>SECTION X – Budget</b>				
<b>Cumulative Budget</b>				
Budget Cost Category	Funds Requested (\$)			
	Year 1 (\$)	Year 2 (\$)	Year 3 (\$)	Total Project (\$)
<b>A. Direct Labor – Key Personnel</b>				
<b>B. Direct Labor – Other Personnel</b>				
Total Number Other Personnel				
<b>Total Direct Labor Costs (A+B)</b>				
<b>C. Direct Costs – Equipment</b>				
<b>D. Direct Costs – Travel</b>				
Domestic Travel				
Foreign Travel				
<b>E. Direct Costs – Participant/Trainee Support Costs</b>				
Tuition/Fees/Health Insurance				
Stipends				
Travel				
Subsistence				
Other				
Number of Participants/Trainees				
<b>F. Other Direct Costs</b>				
Materials and Supplies				
Publication Costs				
Consultant Services				
ADP/Computer Services				
Subawards/Consortium/Contractual Costs				
Equipment or Facility Rental/User Fees				
Alterations and Renovations				

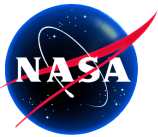




## Cost Backup

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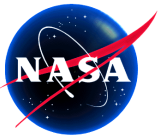
- There is no page limitation on cost back-up
- DO: provide narrative justification and costs for all entries
- DON'T: provide too much information



## Award Start Dates

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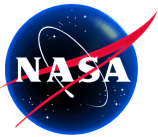
- DO: provide an expected start that ensures all personnel are available and subcontracting strategy is in place.
- Actual start dates may not be consistent with proposed start dates.
- Variables: budget availability, travel for annual reviews, negotiation time, etc



## Fiscal Year vs Phase Year

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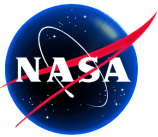
- DO: propose by phase year, not by government fiscal year.
- NASA P.I.'s are requested to propose also in fiscal year in the budget narrative.
- Budget formats only allow for phase year cost estimates.
- Actual start dates may not be consistent with proposed start dates. Proposals by fiscal year will require additional delays in negotiations.



## NASA/JPL Co-Is

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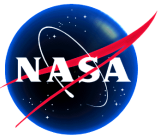
- DO: include NASA or JPL Co-I costs within your proposal – front page, required phase formats, and within the budget backup.
- Suggested entry on “other” line of formats. But explain in the narrative that these costs are for NASA Co-I’s.
- Funds to NASA or JPL Co-I’s are distributed directly by ESTO.
- DON’T apply any institutional overhead to these costs.
- Distribution of these funds is at the discretion of the P.I.



## Labor Costs

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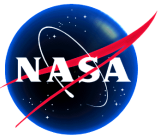
- DO: show P.I. and major participants by name (if known) or by skill
- DO: show level of effort for each person with costs to be incurred for your proposal.
- ROSES format requests calendar months. Example, a person working half time would be shown as 6 calendar months in one year
- DON'T: include any non-civil service personnel under the formats requesting civil service labor.
- Government contractors working at NASA centers are not civil service employees



## Subcontracts

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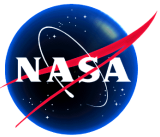
- DO: include cost backup for major subcontracts
- DO: explain the basis of estimate for the costs
- DON'T: refer to ROM's, quotes, or proposals without including them in your backup
- DO: include procurement lead-time in your schedule.
- When your award is funded, we provide funding to the P.I. institution. Subcontractors may not start for several months after the award due to long procurement lead time
- ESTO is not your procurement office, with one exception.



## Non-NASA Other Government Agency Involvement

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- For non-NASA other government Agency involvement, ESTO will act as the procurement office – for grants
- DO: include these costs in your proposal. Suggested entry on “other” line of formats and explain in the narrative
- DON'T: include any institutional overhead of these costs
- A statement of work and cost estimate will need needed from the P.I.

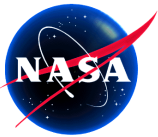


## Materials and Supplies/Equipment

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- Items \$5K or greater must have a cost basis of estimate.
- DO: if you refer to ROM's, quotes, or proposals include them in your backup.
- NSSC requires this back-up. ESTO will ask for backup for NASA/JPL awards
- DON'T: If you refer to a prior purchase, don't add "reserve" for inflation. Add the costs to the prior purchase with a note that inflation is included.
- Reserves of any kind are unallowable costs

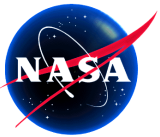




## Travel

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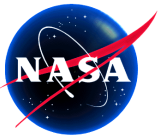
- DON'T: include P.I. travel to the annual Earth Science Technology Forum. Travel costs for invited presenters will be paid separately
- DON'T: request funds for a kick-off meeting with ESTO
- DON'T: request conference travel to present results of the work within a few months from the start date of the award
- DON'T: request funds for interim or annual reviews. Annual reviews will normally be held at the P.I.'s institution
- DO: provide justification to attend foreign conferences
- DO: provide detailed trip-by-trip cost breakouts



## Other Costs

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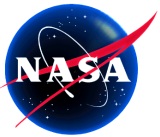
- DON'T: show unidentifiable “other” costs with no explanation, no matter how small



## Fee or Profit

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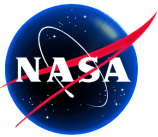
- ESTO issues grants for all industry/academia awards.
- DON'T: propose fee or profit
- If fee is proposed, costs are disallowed and award value is reduced accordingly



## Disallowable Costs

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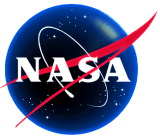
- Costs may be disallowed for multiple reasons (fee, overhead, travel, etc)
- DON'T: request those disallowable costs be applied to allowable costs



## NASA Shared Services Center (NSSC)

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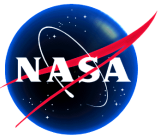
- Industry/academia grants will be administered by NASA Shared Services Center (NSSC) but managed by ESTO
- DO: respond to their questions
- DO: inform ESTO of their questions
- There have been instances where NSSC has questions that apply to contracts, not grants.



## Current and Pending Support

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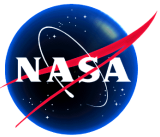
- DO: provide P.I. and Co-I current and pending support
- DON'T: request a start date when personnel are already committed to current work



## Schedule

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- DO: When proposing dates for milestones, use Month from start, not a specific day or month
- Ex: Milestone 3 to be completed 4 months from start.  
Not specific month/year



## Summary

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### DON'T SAY

- I forgot...
- That was a typo
- I meant to say...
- I thought that was common knowledge